

## Managing Your Grant

Congratulations on receiving a grant from CIRM. The following information will help you comply with CIRM regulations and find information about our forms and policies.

If you have questions that aren't addressed on this page contact your Grants Management Specialist, or call the Grants Management Office at 510-340-9163.

## CIRM Regulations

All CIRM Regulations

CIRM IP FAQ (Intellectual Property and Revenue Sharing Requirements for Notice of Awards Executed as of Jan. 27, 2014).

## CIRM Awards approved prior to May 21, 2016

Grants Administration Policy for academic and non-profit institutions [pdf] [html]

GAP Memo—Non-Enforcement of Some PARs [pdf]

Grants administration policy for for-profit organizations [pdf]

## CIRM Awards approved on or after May 21, 2016

CIRM Grants Administration Policy for Clinical Stage Projects [pdf]

CIRM Grants Administration Policy for Discovery, Translation, and Education Projects [pdf]

## Other Regulations

100302 NP Invention Reporting Requirements [pdf]

100303 NP Publication Requirements [pdf]

100402 FP Invention and Licensing Reporting Requirements [pdf]

100403 FP Publication Requirements [pdf]

## Other Resources

Applying for CIRM grants

Search awarded CIRM grants

Where CIRM funding goes

## FAQ

Managing Your CIRM Award Video Series

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### What kind of reports do I have to submit? When are the reports due?

The type and number of reporting requirements for your award depend on the RFA program and are listed on page 2 or 3 of your Notice of Grant Award. Minimally, Grantees must submit an Annual Programmatic Report and an Annual Financial Report. Annual Progress Reports are due the day after the end of each Budget Period, and Annual Financial Reports are due within 90 days of the end of each Budget Period. Please check CIRM's Grants Management System for your reporting due dates and templates. Contact your Grants Management Specialist for help accessing the system or questions about due dates.

### Can I rebudget my grant funds? When do I need to seek Prior Approval?

CIRM funds can be rebudgeted between budget categories as long as you adhere to any budget caps established by the GAP or individual RFA. Please see the GAP Memo on Non-Enforcement of PARS for more information on rebudgeting. Rebudgeting, whether requiring CIRM prior approval or not, should be accurately reported in the annual financial report. Rebudgeting between overhead-included and overhead-excluded budget categories (i.e. from Supplies to Equipment) may create a change to Facilities and Indirect budget categories. A rebudgeting action cannot raise the overall grant total. Please contact a CIRM Grant Specialist for help if needed.

### Can I carry forward unexpended funds into the next Budget Period?

For most awards, carry forward is allowable without prior approval. Please see the GAP Memo on Non-Enforcement of PARS for more information.

### Does CIRM allow no-cost extensions?

Grantees may request a one-time no-cost extension (NCE) up to 12 months on most CIRM awards unless otherwise indicated in the Program Announcement. A Prior Approval Request with a proper justification must first be submitted at least 30 days before the Project Period's expiration. Prior Approval Requests are initiated by the PI in the Awards area of our Grants Management System.

### What are the salary and stipend caps in place for CIRM awards?

CIRM establishes a cap on all annual base salaries charged to CIRM awards in proportion to the % of salary or effort charged to the project as follows:

<b>Effective From:</b>	1/1/2006	1/1/2008	7/1/2010	7/1/2012	7/1/2014	7/1/2016
<b>Effective To:</b>	12/31/2007	6/30/2010	6/30/2012	6/30/2014	6/30/2016	6/30/2018
<b>Salary Cap (100%)</b>	\$200,000	\$207,000	\$213,000	\$221,000	\$230,000	\$246,000

No additional CIRM funds will be provided to support salary cap increases. Biennial adjustments to the caps will be posted here.

CIRM also establishes annual stipend levels for CIRM Scholars on our Training Awards depending on their educational level. These ranges can also be used as a guide for Trainees on CIRM research awards.

<b>Effective From:</b>	1/1/2006	1/1/2008	7/1/2010	7/1/2012	7/1/2014	7/1/2016
<b>Effective To:</b>	12/31/2008	6/30/2010	6/30/2012	6/30/2014	6/30/2016	6/30/2018
<b>Predoctoral Cap</b>	\$25,000	\$26,000	\$27,000	\$28,000	\$29,000	\$30,000
<b>Postdoctoral Low</b>	\$26,000	\$37,000	\$38,000	\$40,000	\$41,000	\$43,000
<b>Postdoctoral High</b>	\$52,000	\$54,000	\$55,000	\$58,000	\$60,000	\$62,000
<b>Clinical Fellow Low</b>	\$65,000	\$67,000	\$69,000	\$72,000	\$75,000	\$77,000
<b>Clinical Fellow High</b>	\$75,000	\$77,000	\$80,000	\$83,000	\$86,000	\$89,000

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Grantees may use the most recent stipend levels for any appointments made after the effective date, but no additional CIRM funds will be provided for existing awards.

### **How do I determine whether CIRM considers a cost allowable?**

CIRM adheres to the cost principles as defined by the Office of Management and Budget Circular A-21, C. Basic Considerations including the determination of whether costs are 1) reasonable, 2) allocable, 3) consistently treated, and 4) adhering to any other limitations set forth by the RFA or Notice of Grant Award. CIRM encourages grantees to use these cost principles to make their own determinations on cost allowability given CIRM cannot make a judgment on every cost scenario.

CIRM has special rules regarding costs outside of California. Please see our Allowable Cost Policy and the Allowable Costs FAQs for more information.

### **What types of expenses are unallowable on CIRM awards?**

CIRM unallowable expenses include but are not limited to visa expenses for foreign nationals, malpractice insurance, membership dues, furniture, telephone equipment, personnel recruitment, receptions, the cost of food or meals unrelated to allowable travel expenses, professional journal subscriptions for trainees on training grants, and non-expense based patient payments. Any other unallowable expenses will be specified by the specific RFA/PA.

### **The Grants Administration Policy does not address a particular policy issue I have. How will CIRM proceed?**

If you have a question about a particular policy issue that is not addressed in the GAP, please contact CIRM's Grants Management team. In cases where the GAP does not address your policy issue, CIRM generally defers to the NIH Grants Policy Statement to determine the appropriate course of action given this longstanding, well known policy that has been put into practice and is consistent with CIRM's approach.

### **Can I change the scope of my project?**

A change in scope must be approved by CIRM prior to initiating such a change. Proper justification must be provided. Any change in scope must still be within the scope of the RFA program. Prior Approval Requests are initiated by the PI in the Awards area of our Grants Management System.

### **How are facilities and indirect cost calculated?**

Grantees may request Facilities costs for research awards consistent with their current, federally negotiated rates. When research is conducted off-site, a Grantee may request a portion of their Facilities cost based on their actual, out-of-pocket lease costs. Indirect costs are currently capped at 20% for most awards (exceptions include RFA 05-01, 08-03, 08-04, and PA 08-06). These rates are applied to the Adjusted Project Costs which exclude Equipment, Tuition and Fees, Research Patient Care Costs, and the total cost of each service contract, Subcontract and Consultant agreement in excess of \$25,000

### **When can I expect payments on my CIRM award?**

CIRM makes quarterly, annual, or operational milestone payments on grant awards based on the Budget Period start date and the RFA or operational milestones outlined in the Notice of Award. The first payment is made upon CIRM's receipt of a fully signed NGA.

For awards without Operational Milestones, quarterly or annual payments will continue to be processed as long as all required reports are complete and submitted on time. If a report is more than 60 days overdue, CIRM reserves the right to hold future payments on the grant award. The final payment on all grant awards is held until all required reports are received and accepted by CIRM.

For awards with Operational Milestones (CLIN and TRAN), the first payment is issued upon initiation of an award. Subsequent payments will be disbursed upon completion of specific Operational Milestones. Costs resulting from a delay or failure to meet an Operational Milestone will be the sole responsibility of the recipient. Successful applicants will have thoughtfully accounted for foreseeable project risks and developed contingency plans that do not involve additional funding from CIRM.

CIRM reserves the right to hold or terminate disbursements if CIRM determines, in its sole discretion, that a Suspension Event has occurred. A "Suspension Event" means a pre-defined condition that triggers a hold of CIRM funding until the suspension event has been resolved, if resolvable.

### **What should I do if I have a publication or invention that resulted from CIRM funds?**

Reference: IP regulations for non-profits & for-profits and Publication requirements for non-profits and for-profits

Publications or Inventions resulting in whole or in part by CIRM funding should be disclosed to CIRM via the CIRM Publication or Invention Disclosure online module within 60 days of the publication date or invention disclosure to your organization. These publications and inventions also need to be reported in the subsequent Annual Programmatic Report. Please ask your Grants Management Specialist if you need further instructions accessing the online modules.

### **Do I have to purchase all my supplies from California suppliers?**

It is a goal of Proposition 71 that more than 50% of the goods and services used in your CIRM-supported research is purchased from California suppliers. CIRM grantees should make good faith efforts to obtain 50% or more of their goods and services from California suppliers. You will be asked to report this on your Annual Programmatic Report, so it is important to keep internal documentation on your expenditures. See the regulation for a definition of California supplier.

### **Where can I find the CIRM forms?**

Most reporting templates are available in the Grants Management System under your awards information. You may also contact your Grants Management Specialist if you have questions about CIRM's forms.

### **Which CIRM Grants Administration Policy does my award follow?**

Please refer to the Notice of Award for the relevant Grants Administration Policy. CIRM awards approved by the ICOC on or after 5/21/16 (CLIN, TRAN, DISC, EDUC, INFR, and converted awards) are governed by the CIRM Grants Administration Policy for Clinical Stage Projects or the CIRM Grants Administration Policy for Discovery, Translation, and Education Projects.

### **What reporting requirements survive termination of a CIRM award?**

After award closeout, CIRM grantees are still required to submit publication and invention disclosures that are a result of CIRM funding. Grantee Technology Transfer offices, or similar group, are responsible for submitting Annual Invention Utilization reports that include activity funded by closed CIRM awards. CIRM also has a record retention policy requiring applicable scientific and administrative records be held for a minimum of 5 years.

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**Source URL:** <https://www.cirm.ca.gov/researchers/managing-your-grant>